



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

ARNOLD SCHWARZENEGGER, Governor

PRESTON, DU FAUCHARD, California Corporations Commissioner

BARRY SEDLICK, Agency Secretary

Release Date: February 14, 2007

CLASSIFICATION: CORPORATION EXAMINER (Will consider Auditor I applications)
1 Position – San Francisco

FINAL FILING DATE: March 7, 2007 or UNTIL FILLED

SALARY: \$3877-5683 per month
(If Auditor I, the salary is \$3836.00 per month.)

POSITION LOCATION: Securities Regulation Division
71 Stevenson St., Suite 2100, San Francisco

DUTIES AND RESPONSIBILITIES: Under the general direction of the Corporations Examiner IV (Supervisor), the Corporations Examiner/Auditor I performs technical and administrative duties to ensure compliance with provisions of the Corporate Securities Law of 1968 and Code of Regulations. Primary duty is conducting field examinations of investment advisers and broker-dealers licensed by the division. Examinations include: reviewing and analyzing financial statements, examining operations procedures, books and records to determine compliance with requirements set by State Law. The incumbent also reviews annual report filings made by licensees for financial accuracy, compliance with capital requirements, and proper disclosure; prepares comprehensive regulatory reports and detailed memorandums; conducts enforcement or "for cause" examinations which target specific problems; investigates complaints made by investors against licensees; and, gathers evidence for possible enforcement actions.

This position requires extensive travel.

DESIRABLE QUALIFICATIONS

- Knowledge of generally acceptable accounting principles and generally accepted auditing standards.
- Knowledge of the rules and regulations administered by the Securities Regulation Division.
- Knowledge of personal computers, familiarity with Microsoft Word and Excel and other computer programs.
- Dependability and the ability to adjust to shifting priorities and meeting deadlines.
- Well-developed organizational and research skills including the ability to collect data in the field and via the Internet.
- Ability to analyze reports, understand and apply rules and regulations, and present ideas and information effectively, both orally and in writing.
- Ability to listen effectively, accurately assess issues and make recommendations about the best possible solution(s).
- Willingness to accept additional responsibilities.
- Good interpersonal skills and ability to work independently as well as within a team.
- Willingness to travel.

WHO MAY APPLY – Employees currently at the Auditor I or Corporation Examiner levels, those within transfer range or who have list eligibility who are reachable (in the top three ranks), and employees with SROA status at the Corporation Examiner level are encouraged to apply. For further technical information regarding the position, please contact Sandra Ramayla at (415) 972-8580 or CALNET 8-539-8580.

PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW. (Please include your social security number for eligibility verification and indicate **RPA # 06 SRD0007** under the job title).

SUBMIT APPLICATION AND RESUME TO:

Department of Corporations
Attention: HR – Mabel Miramar RPA #06-SRD0007
1515 K Street, Suite 200
Sacramento, CA 95814
(916) 445-2953 or CALNET 8-485-82953

RPA #06-SRD0007-JR

AN EQUAL OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION. IT IS THE OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.